

PATENT  
040150

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Houghton et al. )  
Serial No.: ) Examiner:  
Filing Date: ) Art Unit:

Title: TRACKING ACCOUNT STRUCTURE TO SUPPORT DIFFENT LEVERAGE  
LEVELS WITHIN AN INVESTMENT FUND

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Box 1450  
Alexandria, VA 22313-1450


Dear Sir:

Applicants, in accordance with their duty of disclosure pursuant to 37 C.F.R. § 1.56, hereby advise the United States Patent and Trademark Office of the reference(s) listed on the accompanying form PTO/SB/08. A copy of each reference is enclosed.

Applicants note that although the cited references may be relevant to the examination of the above-referenced application, under 37 C.F.R. § 1.97(h), the filing of this *Information Disclosure Statement* "shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in § 1.56(b)."

Respectfully submitted,

Date: March 26, 2003

  
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PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>		<b>Complete if Known</b>	
		Application Number	
		Filing Date	
		First Named Inventor	Houghton
		Art Unit	
Examiner Name			
Sheet	1	of	1
		Attorney Docket Number	040150

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
/A.M./		Adler, "Cayman Islands Segregated Portfolio Companies – A Panacea," 2003.	
↓		Natush, "Segregated Portfolio Companies in the Cayman Islands," October 2003.	

Examiner Signature	/Alan Miller/ (03/31/2008)	Date Considered	03/31/2008
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